

JCT759
U. S. PTO

Use type a plus sign (+) inside this box



PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	OR01-03301
First Inventor	Lawrence Jacobs
Title	Self-Adaptive Hybrid Cache
Express Mail Label No.	EL 856 142 491 US

11050 U.S. PTO

08/31/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 32]
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
- Oath or Declaration UNSIGNED [Total Pages 2]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76.

7. CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Copy (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 C.F.R. §3.73(b) Statement Power of Attorney
(when there is an assignee) Combined with Declaration
11. English Translation Document (*if applicable*)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified copy of Priority Document(s) *(if foreign priority is claimed)*
16. Other: Request for Non-Publication
Other: Credit Card Payment Form

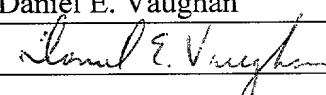
17. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No. _____ / _____ filed _____
Prior application information: Examiner: _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS.

<input checked="" type="checkbox"/> Customer Number or Bar Code Label				<input type="checkbox"/> Correspondence address below
Name	Insert Customer No. or Attach bar code label here			
22200				
Address	PATENT TRADEMARK OFFICE			
City	State	Zip Code		
Country	Telephone	Fax		

Name (Print/Type)	Daniel E. Vaughan	Registration No. (Attorney/Agent)	42,199
Signature		Date	August 31, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,668)

Complete if Known	
Application Number	
Filing Date	August 31, 2001
First Named Inventor	Lawrence Jacobs
Examiner Name	
Group Art Unit	
Attorney Docket No	OR01-03301

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to Deposit Account Number 50-1801 Deposit Account Name Park, Vaughan & Fleming LLP <input checked="" type="checkbox"/> Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Fee Code (\$)</td> <td>Fee Code (\$)</td> <td></td> <td></td> </tr> <tr> <td>105</td> <td>130</td> <td>205 65 Surcharge – late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227 25 Surcharge – late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139 130 Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2520</td> <td>147 2520 For filing a request for ex parte reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112 920* Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1840*</td> <td>113 1840* Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215 55 Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216 195 Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217 445 Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1390</td> <td>218 695 Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1890</td> <td>228 945 Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310</td> <td>219 155 Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220 155 Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270</td> <td>221 135 Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1510</td> <td>138 1510 Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240 55 Petition to revive – unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1240</td> <td>241 620 Petition to revive – unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1240</td> <td>242 620 Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>440</td> <td>243 220 Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>600</td> <td>244 300 Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122 130 Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123 50 Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>180</td> <td>126 180 Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581 40 Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146</td> <td>710</td> <td>246 355 Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>710</td> <td>249 355 For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td>179</td> <td>710</td> <td>279 355 Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>169</td> <td>900</td> <td>169 900 Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify) _____</td> <td colspan="2"></td> </tr> <tr> <td colspan="2">SUBTOTAL (1) (\$ 710)</td> <td colspan="2">SUBTOTAL (3) (\$ 0)</td> </tr> <tr> <td colspan="2">* Reduced by Basic Filing Fee Paid</td> <td colspan="2"></td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)			105	130	205 65 Surcharge – late filing fee or oath		127	50	227 25 Surcharge – late provisional filing fee or cover sheet		139	130	139 130 Non-English specification		147	2520	147 2520 For filing a request for ex parte reexamination		112	920*	112 920* Requesting publication of SIR prior to Examiner action		113	1840*	113 1840* Requesting publication of SIR after Examiner action		115	110	215 55 Extension for reply within first month		116	390	216 195 Extension for reply within second month		117	890	217 445 Extension for reply within third month		118	1390	218 695 Extension for reply within fourth month		128	1890	228 945 Extension for reply within fifth month		119	310	219 155 Notice of Appeal		120	310	220 155 Filing a brief in support of an appeal		121	270	221 135 Request for oral hearing		138	1510	138 1510 Petition to institute a public use proceeding		140	110	240 55 Petition to revive – unavoidable		141	1240	241 620 Petition to revive – unintentional		142	1240	242 620 Utility issue fee (or reissue)		143	440	243 220 Design issue fee		144	600	244 300 Plant issue fee		122	130	122 130 Petitions to the Commissioner		123	50	123 50 Petitions related to provisional applications		126	180	126 180 Submission of Information Disclosure Stmt		581	40	581 40 Recording each patent assignment per property (times number of properties)		146	710	246 355 Filing a submission after final rejection (37 CFR 1.129(a))		149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))		179	710	279 355 Request for Continued Examination (RCE)		169	900	169 900 Request for expedited examination of a design application		Other fee (specify) _____				SUBTOTAL (1) (\$ 710)		SUBTOTAL (3) (\$ 0)		* Reduced by Basic Filing Fee Paid			
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																				
Fee Code (\$)	Fee Code (\$)																																																																																																																																						
105	130	205 65 Surcharge – late filing fee or oath																																																																																																																																					
127	50	227 25 Surcharge – late provisional filing fee or cover sheet																																																																																																																																					
139	130	139 130 Non-English specification																																																																																																																																					
147	2520	147 2520 For filing a request for ex parte reexamination																																																																																																																																					
112	920*	112 920* Requesting publication of SIR prior to Examiner action																																																																																																																																					
113	1840*	113 1840* Requesting publication of SIR after Examiner action																																																																																																																																					
115	110	215 55 Extension for reply within first month																																																																																																																																					
116	390	216 195 Extension for reply within second month																																																																																																																																					
117	890	217 445 Extension for reply within third month																																																																																																																																					
118	1390	218 695 Extension for reply within fourth month																																																																																																																																					
128	1890	228 945 Extension for reply within fifth month																																																																																																																																					
119	310	219 155 Notice of Appeal																																																																																																																																					
120	310	220 155 Filing a brief in support of an appeal																																																																																																																																					
121	270	221 135 Request for oral hearing																																																																																																																																					
138	1510	138 1510 Petition to institute a public use proceeding																																																																																																																																					
140	110	240 55 Petition to revive – unavoidable																																																																																																																																					
141	1240	241 620 Petition to revive – unintentional																																																																																																																																					
142	1240	242 620 Utility issue fee (or reissue)																																																																																																																																					
143	440	243 220 Design issue fee																																																																																																																																					
144	600	244 300 Plant issue fee																																																																																																																																					
122	130	122 130 Petitions to the Commissioner																																																																																																																																					
123	50	123 50 Petitions related to provisional applications																																																																																																																																					
126	180	126 180 Submission of Information Disclosure Stmt																																																																																																																																					
581	40	581 40 Recording each patent assignment per property (times number of properties)																																																																																																																																					
146	710	246 355 Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																					
149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																					
179	710	279 355 Request for Continued Examination (RCE)																																																																																																																																					
169	900	169 900 Request for expedited examination of a design application																																																																																																																																					
Other fee (specify) _____																																																																																																																																							
SUBTOTAL (1) (\$ 710)		SUBTOTAL (3) (\$ 0)																																																																																																																																					
* Reduced by Basic Filing Fee Paid																																																																																																																																							
1. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Fee Code (\$)</td> <td>Fee Code (\$)</td> <td></td> <td></td> </tr> <tr> <td>101</td> <td>710</td> <td>201 355 Utility filing fee</td> <td>710</td> </tr> <tr> <td>106</td> <td>320</td> <td>206 160 Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>490</td> <td>207 245 Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>710</td> <td>208 355 Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214 75 Provisional filing fee</td> <td></td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)			101	710	201 355 Utility filing fee	710	106	320	206 160 Design filing fee		107	490	207 245 Plant filing fee		108	710	208 355 Reissue filing fee		114	150	214 75 Provisional filing fee		FEE CALCULATION 2. EXTRA CLAIM FEES <table border="1"> <thead> <tr> <th></th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>51 -20** = 31</td> <td>X 18</td> <td>= 558</td> </tr> <tr> <td>Independent Claims</td> <td>8 -3** = 5</td> <td>X 80</td> <td>= 400</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>**or number previously paid, if greater. For Reissues, see below</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>Fee Code (\$)</td> <td>Fee Code (\$)</td> <td></td> </tr> <tr> <td>103</td> <td>18</td> <td>203 9 Claims in excess of 20</td> </tr> <tr> <td>102</td> <td>80</td> <td>202 40 Independent claims in excess of 3</td> </tr> <tr> <td>104</td> <td>270</td> <td>204 135 Multiple dependent claim, if not paid</td> </tr> <tr> <td>109</td> <td>80</td> <td>209 40 ** Reissue independent claims over original patent</td> </tr> <tr> <td>110</td> <td>18</td> <td>210 9 ** Reissue claims in excess of 20 and over original patent</td> </tr> </tbody> </table>			Extra Claims	Fee from below	Fee Paid	Total Claims	51 -20** = 31	X 18	= 558	Independent Claims	8 -3** = 5	X 80	= 400	Multiple Dependent				Large Entity	Small Entity	Fee Description	Fee Code (\$)	Fee Code (\$)		103	18	203 9 Claims in excess of 20	102	80	202 40 Independent claims in excess of 3	104	270	204 135 Multiple dependent claim, if not paid	109	80	209 40 ** Reissue independent claims over original patent	110	18	210 9 ** Reissue claims in excess of 20 and over original patent																																																																			
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																				
Fee Code (\$)	Fee Code (\$)																																																																																																																																						
101	710	201 355 Utility filing fee	710																																																																																																																																				
106	320	206 160 Design filing fee																																																																																																																																					
107	490	207 245 Plant filing fee																																																																																																																																					
108	710	208 355 Reissue filing fee																																																																																																																																					
114	150	214 75 Provisional filing fee																																																																																																																																					
	Extra Claims	Fee from below	Fee Paid																																																																																																																																				
Total Claims	51 -20** = 31	X 18	= 558																																																																																																																																				
Independent Claims	8 -3** = 5	X 80	= 400																																																																																																																																				
Multiple Dependent																																																																																																																																							
Large Entity	Small Entity	Fee Description																																																																																																																																					
Fee Code (\$)	Fee Code (\$)																																																																																																																																						
103	18	203 9 Claims in excess of 20																																																																																																																																					
102	80	202 40 Independent claims in excess of 3																																																																																																																																					
104	270	204 135 Multiple dependent claim, if not paid																																																																																																																																					
109	80	209 40 ** Reissue independent claims over original patent																																																																																																																																					
110	18	210 9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																					
SUBTOTAL (2) (\$ 958)		SUBTOTAL (3) (\$ 0)																																																																																																																																					

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Daniel E. Vaughan	Registration No. (Attorney/Agent)	42,199	Telephone 650/474-1973
Signature	<i>Daniel E. Vaughan</i>		Date	August 31, 2001

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor		Lawrence Jacobs
Title	Self-Adaptive Hybrid Cache	
Attorney Docket Number	OR01-03301	

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

August 31, 2001

Date



Signature

Daniel E. Vaughan

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant must notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**